

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview

1. **Date of Submission:** 2011-02-25

2. **Agency:** 024

3. **Bureau:** 50

4. **Name of this Investment:** CBP - Secure Border Initiative (SBInet and Other Technology)

5. **Unique Project (Investment) Identifier (UPI):** 024-50-01-03-01-5108-00

6. **What kind of investment will this be in FY 2012?:** Mixed Life Cycle

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. **What was the first budget year this investment was submitted to OMB?** FY2007

8.

- a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

The DHS border security mission, as outlined in the Quadrennial Homeland Security Review, is to prevent the illegal flow of people and goods across U.S. air, land, and sea borders while expediting the safe flow of lawful trade and commerce. SBI delivers detection and surveillance technology systems to prevent illegal entry of people, weapons, dangerous goods, and contraband, as well as evaluates emerging technologies and innovative applications of existing technology for border security. In January 2010, Secretary Napolitano, due to concerns over SBInet Block 1 program delays and cost growth, ordered a quantitative, science-based assessment of CBP's border security technology approach. Using this Analysis of Alternatives, the Border Patrol conducted an operational assessment of border surveillance technology in order to identify the appropriate mix of technologies required to gain situational awareness and manage the Arizona border area. The assessment involved a rigorous comparison of technologies and an analysis of operational judgments to consider both effectiveness and cost. The FY 2012 BSFIT funding profile, as endorsed by the DHS Resource Allocation Decision, is designed to support the Arizona deployment strategy resultant from the DHS Analysis of Alternatives (AoA) for SBInet and alternative border technology. The Arizona Border Surveillance Technology Plan is in the early stages of the acquisition process. Key scheduled events for the first quarter of FY 2011 include delivering a time-phased deployment schedule and budget for Arizona, as well as system acceptance and operational testing for the two approved Block 1 deployments, TUS-1 and AJO-1. Going forward, CBP will apply the same AoA and technology evaluation methodologies beyond Arizona. Much of the information requested in the 300 will be updated with the information generated by the Arizona Border Surveillance Technology Plan acquisition process deliverables.

- b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
IT Program Assessment	http://www.dhs.gov/xlibrary/assets/mgmt/itpa-cbp-sbinet2010.pdf

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**
2006-04-11
- b. **Provide the date of the most recent or planned approved project charter.** 2008-04-30

10. **Contact information?**

- a. **Program/Project Manager Name:** *
Phone Number: *
Email: *
- b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** Robert Brown
Phone Number: *
Email: *

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA): Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding

(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 4

3. Insert the number of years covered in the column “BY+4 and beyond”: *

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
Awarded	7014	HSBP1208J19363	HSBP1006D01353		*	*		Cost Plus Award Fee	Y	2007-12-07	2010-06-24	Y	COP/C3I
Awarded	7014	HSBP1207J17845	HSBP1006D01353		*	*		Cost Plus Fixed Fee	Y	2007-08-01	2009-07-31	Y	Lay-dow design effort for Secure Border Initiative Network (SBInet) towers.
Awarded	7014	HSBP1208J20016	HSBP1006D01353		*	*		Cost Plus Award Fee	Y	2008-04-16	2011-03-25	Y	Systems Task Order (STO) under Secure Border Initiative, providing system-level engineering and program execution services
Awarded	7014	HSBP1208J21892	HSBP1006D01353		*	*		Cost Plus Incentive	Y	2008-06-25	2011-03-17	N	Arizona Deployment Task Order

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
													for Tucson-1 and Ajo-1
Awarded	7014	HSBP1208J20165	HSBP1006D01353		*	*		Cost Plus Incentive	N	2008-08-16	2010-12-02	N	Integrated Logistics Support
Awarded	7014	HSBP1209J25801	HSBP1006D01353		*	*		Firm Fixed Price	N	2009-03-31	2011-03-31	N	Professional services for Northern Border project-Buffalo, NY & Detroit, MI
Awarded	7014	HSBP1209J25801	HSBP1006D01353		*	*		Firm Fixed Price	N	2009-03-31	2011-03-31	N	Professional services for Northern Border project-Buffalo, NY & Detroit, MI
Awarded	7014	HSBP1010F00090	GS10F0032J	HSBP1209Q2280	*	*		Time and Materials	N	2010-02-04	2011-05-30	Y	Programmatic Environmental Impact Statement support

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3.

- a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow *
- b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 *
- c. Was the Acquisition Plan approved in accordance with agency requirements *
- d. If "yes," enter the date of approval? *
- e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? *
- f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? *
- g. If an Acquisition Plan has not been developed, provide a brief explanation.

*

Part II: IT Capital Investments

Section A: General

1.
 - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. *yes*
 - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education.
2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. *not applicable*
3. Provide the date of the most recent or planned Quality Assurance Plan *2010-01-06*
4.
 - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment.
 - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s).
5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. *2010-07-22*
6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. *2010-08-23*

Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Block 0 (P28)	DME	*	\$20.6	\$20.6	2006-10-20	2006-10-20	2008-02-21	2008-02-21	100.00%	100.00%
Tus-1 Design	DME	*	\$7.8	\$7.8	2008-01-29	2008-01-29	2010-06-21	2010-06-21	100.00%	100.00%
Tus-1 Deployment	DME	*	\$47.3	\$95.2	2009-05-04	2009-05-04	2010-10-11	2010-11-19	100.00%	100.00%
Ajo-1 Design	DME	*	\$9.0	\$10.9	2009-01-29	2009-01-29	2010-09-21	2010-01-21	100.00%	100.00%
Block 1 Sustainment	SS	*	\$44.2	\$24.0	2009-10-01	2010-10-01	2011-09-30		50.00%	45.00%
Buffalo Design	DME	*	\$0.6	\$0.6	2009-02-06	2009-02-06	2009-10-21	2009-10-21	100.00%	100.00%
Buffalo Deployment	DME	*	\$6.8	\$6.9	2009-05-06	2009-05-06	2010-02-26	2010-02-26	100.00%	100.00%
Detroit Design	DME	*	\$3.1	\$3.1	2009-03-31	2009-03-31	2009-09-11	2009-09-11	100.00%	100.00%
Detroit Deployment	DME	*	\$11.6	\$11.6	2009-08-13	2009-08-13	2010-03-31	2010-02-28	100.00%	100.00%
Northern Border Integration Demo Design	DME	*	\$17.0	\$17.0	2009-05-18	2009-05-18	2010-08-31	2010-08-31	100.00%	100.00%
Northern Border Intergration Demo Deployment	DME	*	\$23.0	\$13.6	2010-03-04	2010-03-04	2010-10-25	2010-10-25	100.00%	100.00%
FY2007 Sustainment	SS	*	\$1.0	\$0.9	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00%	100.00%
FY2008 Sustainment	SS	*	\$10.6	\$6.9	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
FY2009 Sustainment	SS	*	\$42.0	\$34.1	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
FY2010 Sustainment	SS	*	\$96.6	\$46.0	2009-10-01	2009-10-01	2010-09-30	2010-09-30	100.00%	68.18%
FY 2010 MSC Buys	DME	*	\$39.1	\$39.1	2009-10-01	2010-10-01	2010-09-30	2010-12-30	100.00%	100.00%

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion. The independent, quantitative, science-based assessment of the SBInet program has demonstrated that SBInet is not the most efficient, effective and economical way to meet our nation's border security needs. Specifically, the assessment has made clear that SBInet does not have the capability to provide a single, integrated technological solution to border security. During the time that the assessment was being performed all investment in SBInet was frozen resulting in schedule delays.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

2008-04-24

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

yes

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding

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Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Technology	Availability	Achieve and Maintain Operational Availability Key Performance Parameter	annual	Operational %	Increase	85%	2009-07-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	85%	TBD	Met	2010-09-17
			2011	85%	TBD		2010-09-17
			2012	85%	TBD		2010-09-17
			2013	85%	TBD		2010-09-17
			2014	85%	TBD		2010-09-17
			2015	85%	TBD		2010-09-17
Processes and Activities	Errors	Achieve and Maintain Probability of Correct Identification Key Performance Parameter	annual	Percentage of Correct ID	Increase	70%	2009-07-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	70%	TBD	Met	2010-09-17

Processes and Activities	Errors	Achieve and Maintain Probability of Detection KPP	2011	70%	TBD		2010-09-17
			2012	70%	TBD		2010-09-17
			2013	70%	TBD		2010-09-17
			2014	70%	TBD		2010-09-17
			2015	70%	TBD		2010-09-17
			annual	Percentage of Detection	Maintain	70%	2009-07-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	70%	TBD	Met	2010-09-17
			2011	70%	TBD		2010-09-17
			2012	70%	TBD		2010-09-17
			2013	70%	TBD		2010-09-17
			2014	70%	TBD		2010-09-17
			2015	70%	TBD		2010-09-17
			annual	Miles	Increase	597	2009-07-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated

			2010	59 Additional Miles	TBD	Met	2011-02-27
			2011	291 Additional Miles	TBD		2010-09-17
			2012	151 Additional Miles	TBD		2010-09-17
			2013	154 Additional Miles	TBD		2010-09-17
			2015	90 Additional Miles	TBD		2010-09-17
Customer Results	New Customers and Market Penetration	Number of Stations Delivered	annual	# of Stations	Increase	13	2009-07-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	2	TBD		2010-09-17
			2011	9	TBD		2010-09-17
			2012	10	TBD		2010-09-17
			2013	13	TBD		2010-09-17
			2014	13	TBD		2010-09-17
			2015	13	TBD		2010-09-17
Mission and Business Results	Border and Transportation Security	Situational Awareness of Sectors covered by SBInet System	annual	Miles	Maintain	1193	2009-07-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated

2014	90 Additional Miles	TBD	2010-09-17
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* - Indicates data is redacted.